

Information Services Board Briefing Paper on Statewide Information Technology Policy Compliance

Prepared by Mary Lou Griffith, DIS/MOSTD, (360) 902-2978.

Description

ISB staff presented the status of agencies' certified compliance with IT policy and standards pertaining to Portfolio Management, Disaster Recovery/Business Resumption, and IT Security Policies at the March 18, 2004 ISB meeting. Although ISB staff works with agencies all year to assist them with policy compliance, 17 of 121 agencies were identified as non-compliant in one or more areas. The ISB voted to revoke the delegated authority for IT spending for those agencies not in compliance. The ISB directed staff to notify the non-compliant agencies and provide assistance to bring those agencies into compliance as soon as possible.

Status

ISB staff contacted non-complaint agencies by telephone after the ISB meeting to notify them their delegated authority was revoked. A letter was sent to directors of non-complaint agencies specifying which requirements were missing. Each agency has been working with ISB staff to finalize their documentation and complete their requirements as quickly as possible. As of April 21, 2004, three of the 17 formerly non-complaint agencies are fully compliant and have had their delegated authority for IT spending restored.

The following chart shows compliance status:

Agency	Delegated Authority	Missing Requirements	Date Restored
African-American Affairs Commission	\$50,000	Audit	
Asian-American Affairs Commission	\$50,000	Portfolio	
Columbia River Gorge Commission	\$50,000	DR/BR	
Community, Trade, and Economic Development, Department of	\$1,000,000	DR/BR, Security, Audit	4/8/2004
County Road Administration Board	\$50,000	Portfolio	
Growth Management Hearings Board, Western Washington	\$50,000	All	
Historical Society, Washington State	\$250,000	All	
Indian Affairs, Governor's Office of	\$50,000	All	
Military Department	\$1,000,000	Audit	
Minority & Women's Business Enterprises	\$50,000	All	
Personnel Appeals Board	\$50,000	All	
Public Employment Relations Commission	\$50,000	Portfolio, DR/BR	4/7/2004
Secretary of State	\$1,000,000	Audit	3/23/2004
Tax Appeals, Board of	\$50,000	Portfolio, DR/BR	
Traffic Safety Commission	\$50,000	All	
Transportation Improvement Board	\$50,000	Portfolio, DR/BR	
Workforce Training and Education Coordinating Board	\$50,000	Portfolio, Audit	

Issues

The next compliance letters are due August 31. Agencies need to assign resources for completion of the annual review of the requirements listed above.

Background

The ISB policies direct agencies to review and update their IT Portfolio, Disaster Recovery/Business Resumption Plans, and IT Security Programs annually. Each agency director is responsible for oversight of the agency's plans and programs and must confirm in writing annually by August 31st that the portfolio was reviewed and updated, the Disaster Recovery/Business Resumption Plans have been reviewed, updated, and tested and the IT Security Program has been developed, reviewed, and updated.

Additionally, the IT Security Policy requires agencies to conduct an IT security policy and standards compliance audit once every three years. The audit is a desk review of the documented agency security processes and procedures, and must follow audit standards developed and published by the State Auditor. Exceptions in the audit findings are provided only to the agency. Knowledgeable parties, who are independent of the agency's information technology unit, such as a state auditor, must perform the audit. All agencies under the authority of the ISB were required to complete their initial compliance audit by October 6, 2003.